

12/27/01

JC962 U.S. PTO

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

| | |
|--|---|
| Attorney Docket No. | V637-02670 US |
| First Inventor or Application Identifier | Ralph H. Johnson |
| Title | VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING INDIUM AND ANTIMONY IN THE ACTIVE REGION |
| Express Mail Label No. | EL597435797US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets - 4. Oath or Declaration [Total Pages - a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☒ Other: Certificate of Mailing

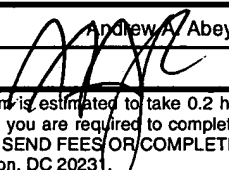
16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner _____ Group / Art Unit: _____

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label000128
(Insert Customer No. or Attach Bar Code Label here)or ☒ Correspondence address below

| | | | | | |
|---------|------------------------------|-----------|--------------|----------|--------------|
| Name | Andrew A. Abeyta | | | | |
| | Honeywell International Inc. | | | | |
| Address | 101 Columbia Road | | | | |
| | POB 2245 | | | | |
| City | Morristown | State | NJ | Zip Code | 07962 |
| Country | U.S.A. | Telephone | 602-313-3345 | Fax | 602-313-4559 |

| | | | |
|-------------------|---|-----------------------------------|---------------|
| Name (Print/Type) | Andrew A. Abeyta | Registration No. (Attorney/Agent) | 39,582 |
| Signature |  | Date | Dec. 20, 2001 |

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This form is a Replication of PTO/SB/17 (01/01)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
For FY 2001**

Patent fees are subject to annual revision.

COMPLETE IF KNOWN

| | |
|----------------------|-------------------|
| Application No. | T.B.D. |
| Filing Date | December 20, 2001 |
| First Named Inventor | Ralph H. Johnson |
| Group Art Unit | T.B.D. |
| Examiner Name | T.B.D. |
| Attorney Docket No. | V637-02670 US |

TOTAL AMOUNT OF PAYMENT \$1,194.00**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **01-1125**Deposit Account Name **Honeywell International Inc.**

- ☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|--------|--------------|--------|------------------------|-----------------|
| Fee Code | Fee \$ | Fee Code | Fee \$ | | |
| 101 | 740 | 201 | 370 | Utility Filing Fee | 740 |
| 106 | 330 | 206 | 165 | Design Filing Fee | |
| 107 | 510 | 207 | 255 | Plant Filing Fee | |
| 108 | 740 | 208 | 370 | Reissue Filing Fee | |
| 114 | 160 | 214 | 80 | Provisional Filing Fee | |
| SUBTOTAL (1) | | | | | \$740.00 |

2. EXTRA CLAIM FEES

| | | | | | | | | | | | |
|---------------------------|----|-------|--|--------------|-----|---|----------------|--------|---|----------|-----|
| Total Claims | 43 | -20 = | | Extra Claims | 23 | x | Fee from below | 18.00 | = | Fee Paid | 414 |
| Independent Claims | 1 | -3 = | | | -0- | x | | 84.00 | = | | -0- |
| Multiple Dependent Claims | | | | | -0- | x | | 280.00 | = | | -0- |

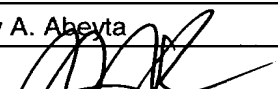
| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|--------|--------------|--------|---|-----------------|
| Fee Code | Fee \$ | Fee Code | Fee \$ | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 | |
| 104 | 280 | 204 | 140 | Multiple dependent claim | |
| 109 | 84 | 209 | 42 | Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | \$414.00 |

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|--------|--------------|--------|--|----------------|
| Fee Code | Fee \$ | Fee Code | Fee \$ | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,250 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,150 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Statement | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 740 | 279 | 3370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| 195 | 300 | 195 | 300 | Publication fee | |
| Other fee (specify) | | | | | |
| SUBTOTAL (3) | | | | | \$40.00 |

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

| | | | | | | |
|---------------------|---|-----------------------------------|--------|--------------------------|-------------------|--------------|
| Name (Print / Type) | Andrew A. Abeyta | Registration No. (Attorney/Agent) | 39,582 | Complete (if applicable) | Telephone | 602-313-3345 |
| Signature |  | | | Date | December 20, 2001 | |

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Docket No. V637 02670 US
Serial No. t. b. d.
Filed December 20, 2001

Certificate of Mailing under 37 CFR 1.10

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Arlington, VA 22202

on December 20, 2001
(Date)



Signature

Tessa Ricar

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal for FY 2001, two copies;
3. Patent Application, twenty-eight pages;
4. Formal drawings, twenty-two pages;
5. Declaration for Utility or Design Patent Application, two pages;
6. Recordation Form Cover Sheet, two pages;
7. Assignment, one page;
8. Certificate of Mailing;
9. Return post card.

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